

Office of the Inspector General Department of Defense Strategic Plan, FY 2006 - FY 2011

VISION STATEMENT:

One professional team strengthening the integrity, efficiency, and effectiveness of Department of Defense programs and operations.

MISSION STATEMENT:

The Office of the Inspector General promotes integrity, accountability, and improvement of Department of Defense personnel, programs and operations to support the Department's mission and to serve the public interest.

GOAL 1: Improve the economy, efficiency, and effectiveness of Department of Defense personnel, programs and operations.

Objectives:

1. Recommend solutions to resolve identified risks and weaknesses.
2. Provide independent, objective, and relevant information to the Department, Congress, other Government agencies, and the public.

Means and Strategies:

- Conduct audits, investigations, inspections, and evaluations
- Evaluate and monitor program performance
- Develop and execute an OIG Communication Plan to demonstrate the inherent value of our products to stakeholders
- Evaluate impact
- Develop oversight policy for DoD functions

Key Factors:

- Resource constraints

- Catastrophic events (e.g., "9/11," "Katrina")
- Department operational tempo
- Volume and complexity of congressional inquiries
- Increased external demands
- Buy-in from stakeholders and clients
- Lag-time in implementing recommendations

Program Evaluations:

- External reviews (i.e. PCIE , GAO, OMB)
- *Congressional oversight*

Performance Measures/Indicators:

- Return on Investment
 - Monetary benefits gained or recovered through our work to improve program efficiency
- Percentage of recommendations implemented
- Customer satisfaction of Congressional stakeholders
- Customer satisfaction of DoD stakeholders
- Other Benefits as further defined

Long-Term Performance Goals: *To be determined once baseline data is established in FY 2006 for the measures.*

GOAL 2: Eliminate fraud, waste, and abuse in the programs and operations of the Department.

Objectives:

1. Promote ethics and integrity within the Department.
2. Prevent and detect fraud, waste, and abuse.
3. Provide independent, objective, and relevant information to the Department, Congress, other Government agencies, and the public.
4. Promote public confidence in DoD leadership and programs.

Means and Strategies:

- Conduct audits, investigations, inspections and evaluations
- Operate and promote the DoD-wide Hotline program
- Develop and execute an OIG Communication Plan to demonstrate the inherent value of our products to stakeholders
- Review policy, develop policy recommendations, and perform oversight

Key Factors:

- Resource constraints
- Catastrophic events (e.g., “9/11,” “Katrina”)
- Department operational tempo
- Department PERSTEMPO
- Volume and complexity of congressional inquiries
- Increased external demands
- Buy-in from stakeholders and customers
- Competing priorities (e.g., Department of Justice)
- Lag-time in implementing recommendations

Program Evaluations:

- External reviews (i.e. PCIE , GAO, OMB)
- Congressional oversight

Performance Measures/Indicators:

- Percentage of completed investigations accepted by the U.S. Attorney for prosecution
- Monetary benefits gained or recovered
- Percentage of fraud, waste and abuse recommendations implemented
- Communicate through a wide variety of products (e.g. testimony, reports, meetings, internet, periodicals, and press releases)
- Percentage of DoD and Congressional priorities and requests covered timely
- Customer satisfaction of Congressional stakeholders
- Customer satisfaction of senior DoD stakeholders
- Other Benefits as further defined

Long-Term Performance Goals: *To be determined once baseline data is established in FY 2006 for the measures.*

GOAL 3: Improve the efficiency and effectiveness of OIG products, processes, and operations.

Objectives:

1. Establish short and long term priorities for the OIG.
2. Achieve President's Management Agenda initiatives.
3. Ensure accountability for mission accomplishment and strategic human capital management and merit system principles.
4. Improve the planning and use of OIG resources to ensure relevant and timely information to senior-level decision makers on critical issues.
5. Enhance the follow-up process to focus on outcomes and impacts.
6. Identify opportunities for improvement of Component unique operations.

Means and Strategies:

- Assess the opportunities for competitive sourcing
- Finalize and implement a human capital strategic plan
- Improve the Information Management Plan to provide more timely and accurate resource data to decision makers
- Improve knowledge management systems
- Establish a means to obtain feedback from internal OIG customers
- Develop metrics for the delivery of services to internal customers
- Improve the budget and execution process to fully state our resource needs to include an acquisition plan, personnel plan, and a resource distribution process
- Link performance plans and awards to the OIG Strategic Plan

Key Factors:

- Resource constraints
- Catastrophic events (e.g., "9/11," "Katrina")
- Department operational tempo
- Increased external demands
- Buy-in from stakeholders and clients
- Workforce demographics and economics

Program Evaluation:

- Internal management controls and assessments
- Internal quality assurance reviews
- DoD budget reviews
- Peer reviews
- PCIE training reviews
- Office of Government Ethics reviews
- Security reviews

Performance Measures/Indicators:

- Attrition rate
- Retention rate
- Cycle times
- Peer review compliance
- Feedback from internal OIG customers
- Compliance with mandatory education requirements
- Unqualified opinion on financial statements
- EEO/Affirmative Action

Long-term Performance Goals: *To be determined once baseline data is established in FY 2006 for the measures.*

Appendix A
OMB Circular No. A-11 Guidance in Preparing a Strategic Plan

210.1 Preparing a strategic plan: The main elements

The basic requirements for strategic plans are set forth in Section 3 of the Government Performance and Results Act (GPRA). A strategic plan contains the following elements:

- **Agency mission statement.** A mission statement is brief, defines the basic purpose of the agency, and corresponds directly with the agency's core programs and activities. An agency's program goals should flow from the mission statement.
- **One or more strategic goals.** Also termed "general goal," a strategic goal is a statement of aim or purpose that defines how an agency will carry out a major segment of its mission over a period of time. The goal is expressed in a manner which allows a future assessment to be made of whether the goal was or is being achieved. Most strategic goals will be outcomes, and are longterm in nature. In a performance plan (performance budget), strategic goals should be used to group multiple program outcome goals; the program outcome goals should relate to and in the aggregate be sufficient to influence the strategic goals or objectives and their performance measures.
- **A description of the means and strategies that will be used to achieve the goals.** The agency strategic plan must describe the processes, skills, technologies, and various resources that will be used to achieve the strategic goals. (These are often called "means and strategies.") These may include:
 - Operational processes, such as changes in work methods or sequencing, workforce adjustments, and shifts in responsibility for particular tasks;
 - Staff skills, and the development, introduction, and use of technologies; and
 - Human resources, capital assets, information technology, and other resources.Descriptions should be brief. More detailed data should be provided if a significant change in a particular means or strategy will be essential for goal achievement.
- **A description of the relationship between annual program performance goals to the agency's strategic goal framework.** An updated and revised strategic plan should briefly outline:
 - The type, nature, and scope of the performance goals being included in annual

performance budgets, and OMB Circular No. A-11 (2004) Section 210-1

SECTION 210— PREPARING AND SUBMITTING A STRATEGIC PLAN

How these annual performance goals relate to the strategic goals, and their use in helping determine the achievement of the strategic goals. The PART process serves to ensure that annual performance goals have ambitious targets and are measurable. Also, the PART process clarifies the relationship among performance goals.

- **Identification of key factors that could affect achievement of the strategic goals.** If key factors (external to the agency) cannot be identified, a statement of such should be included in the plan. (Achievement of strategic goals can be affected by certain previously prospective conditions or circumstances occurring during the time period covered by the plan. These conditions are identified in the plan as key factors, and provide insight on the assumptions an agency used when defining its goals. Key factors may enhance or nullify these assumptions and the likelihood of goal achievement. Goal achievement may also be predicated on certain conditions (events) not happening. Key factors are often called external factors, as they are introduced by external forces or parties, and are not of the agency's own making. The factors may be economic, demographic, social, or environmental, and they may remain stable, change within predicted rates, or vary to an unexpected degree. Achievement of goals can also depend on the action of the Congress, other Federal agencies, States, local governments, or other non-Federal entities.)
- **A description of program evaluations used in preparing the strategic plan, and a schedule for future evaluations.** A description of completed program evaluations that were used in developing the strategic plan, and a schedule for future program evaluations. For additional information on program evaluations, see Question 2.6 in the PART guidance, at http://www.whitehouse.gov/omb/part/2006_part_guidance.pdf. An agency's strategic plan keys on those programs and activities that carry out the agency's mission.

Strategic plans will provide the overarching framework for an agency's performance budget. Revisions of a strategic plan will focus on developing a performance budget, updating performance measures and targets, and implementing recommendations from Program Assessment Rating Tool (PART) assessments. Strategic plans should guide the formulation and execution of the budget. A strategic plan is a tool to be used in setting priorities and allocating resources consistent with these priorities. A strategic plan is not a budget request; the projected levels of goal achievement must be commensurate with anticipated resource levels. See section 200.2 for further definitions of "strategic goal," "performance goal," "performance measures," "targets," and "performance budget."

210.2 Preparing a strategic plan: Format and other features

No specific format is prescribed for your strategic plan. An updated strategic plan is a complete plan, containing all required plan elements.

Your plan should outline the process for communicating goals and strategies throughout the agency, and for assigning accountability to managers and staff for goal achievement. The nature and dimension of your management-related initiatives and reforms may merit the inclusion of a management section in your strategic plan. An agency may describe significant risks that threaten achievement of the strategic goals.

These risks are associated with internal agency operations and functions, and are separate and distinct from external factors.

If appropriate, include a classified appendix. A classified appendix covers any material specifically authorized under criteria established by an Executive Order, to be kept secret in the interest of national defense or foreign policy.

Section 210–2 OMB Circular No. A–11 (2004) SECTION 210—PREPARING AND SUBMITTING A STRATEGIC PLAN

A strategic plan must cover the major functions and operations of your agency. You have discretion to omit support-type activities and operations. Strategic plans prepared primarily for your agency's internal use (such as those prepared at a program or component-unique level) may cover a greater range of functions and operations.

You should submit a single agency-wide plan. The strategic planning process is sufficiently mature in all agencies to support preparation of a single agency-wide plan. However, GPRA does allow an agency with widely disparate functions to prepare several strategic plans for its major components or programs. In these instances, an overview that brings together the component plans is prepared. Please consult with the appropriate OMB office and secure its approval if your agency will be unable to prepare a single agencywide plan.

A strategic plan spans a minimum six-year period: the fiscal year it is submitted and at least five years forward of that fiscal year. (For example, a plan submitted in FY 2004 would cover FY 2004 through FY 2009.) A plan may be for a period longer than six years; for example, containing a project completion goal ten years in the future. A strategic plan, while covering a minimum six year period, is only current for three years.